

## DOCUMENT RESUME

ED 349 403

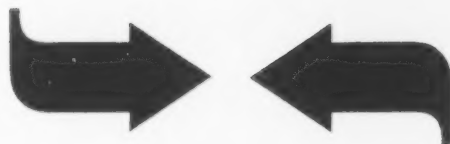
CE 061 865

AUTHOR Alamprese, Judy; Koloski, Judy  
TITLE Direct and Equitable Access: Collaborative Opportunities under the National Literacy Act. Report of a Workshop (Washington, D.C., March 1992).  
INSTITUTION National Adult Education Professional Development Consortium, Washington, DC.; National Governors' Association, Washington, D.C.; United Way of America, Alexandria, Va.  
PUB DATE Mar 92  
NOTE 17p.  
AVAILABLE FROM National Adult Education Professional Development Consortium, Publications, 444 North Capitol Street, N.W., Suite 422, Washington, DC 20001 (\$3; more than 10: \$2 each).  
PUB TYPE Guides - Non-Classroom Use (055) -- Collected Works - Conference Proceedings (021)  
EDRS PRICE MF01/PC01 Plus Postage.  
DESCRIPTORS \*Access to Education; \*Adult Education; Adult Literacy; \*Adult Programs; Agency Cooperation; Delivery Systems; Educational Finance; \*Educational Legislation; \*Educationally Disadvantaged; \*Federal Aid; Federal Legislation; Financial Support; Fund Raising; Grants; Guidelines; Literacy Education; Program Implementation; Program Proposals  
IDENTIFIERS \*National Literacy Act 1991

## ABSTRACT

This report summarizes the findings of a workshop convened to examine the implications of the "direct and equitable access" provision of the National Literacy Act (1991). For its successful implementation, this provision requires a willingness by state adult education offices, national and state literacy organizations, and other interested groups to work together in understanding federal and state funding guidelines for adult education. A critical need exists for leadership from all segments of the adult education system to guide implementation in terms of types of organizations involved in service delivery, breadth of services, and additional resources needed to support those services. Organizations applying for funding should consider the following elements of the operation of an adult education program: targeting clients/learner requirements, facilities requirements, agency linkages, intake procedures, curriculum, instructional methods, staff development, learner assessment, and data collection. A number of practices have been implemented by state adult education offices to address administrative and fiscal requirements: administrative caps, local match, reimbursement process, documentation of agency eligibility, data reporting/learning confidentiality, distribution of formula funds, state hour limitations, and previous experience requirement. National organizations should model collaborative working relationships at the national level and provide technical assistance and financial support to help state and local affiliates meet challenges and opportunities of the new legislation. A list of workshop participants is provided. (YLB)

ED349403



## Direct and Equitable Access: Collaborative Opportunities Under the National Literacy Act

U.S. DEPARTMENT OF EDUCATION  
Office of Educational Research and Improvement  
EDUCATIONAL RESOURCES INFORMATION  
CENTER (ERIC)

- ☐ This document has been reproduced as received from the person or organization originating it.
- ☐ Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.



"PERMISSION TO REPRODUCE THIS  
MATERIAL HAS BEEN GRANTED BY

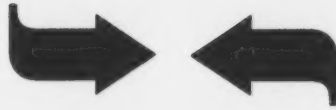
*JA Kotloski*

TO THE EDUCATIONAL RESOURCES  
INFORMATION CENTER (ERIC)."

A workshop sponsored by the  
National Adult Education Professional Development Consortium  
in cooperation with the  
National Governors' Association and United Way of America

March 1992 Washington, D.C.

CE 061865~



# Direct and Equitable Access: Collaborative Opportunities Under the National Literacy Act

A report written by  
Judy Alamprese in collaboration with Judy Koloski.

This document is a publication of the  
**National Adult Education  
Professional Development Consortium**

Hall of States, Suite 422  
444 North Capitol Street, NW  
Washington, DC 20001

Noreen Lopez, Chairperson  
Judy Koloski, Executive Director

## Preface

The National Literacy Act (P.L. 102-73) was signed into law by President George Bush on July 25, 1991. While the passage of this legislation has been hailed as a major landmark by many individuals and organizations in the literacy community, significantly increased funding to support many of the provisions of the law has not yet been made available. Nonetheless, the goal to support an expanded, qualitative and diverse literacy delivery system remains a priority.

In one of its many amendments to the Adult Education Act (AEA), the National Literacy Act included a provision that "Each State educational agency receiving financial assistance under this subpart shall provide assurance that local educational agencies, public or private nonprofit agencies, community-based organizations, correctional education agencies, postsecondary educational institutions, and institutions which serve educationally disadvantaged adults will be provided direct and equitable access to all Federal funds provided under this subpart" (Sec. 301. (b) (1)). To examine the implications of this provision, a group of individuals representing several of the major organizations which provide literacy services was asked to participate in a two day working group in Washington, D.C. The meeting, organized under the auspices of the **National Adult Education Professional Development Consortium (NAEPDC)**, had two goals: 1) to explore some of the issues and requirements surrounding this legislative mandate; and 2) to offer suggestions and opportunities that will assist in its implementation.

The passage of the National Literacy Act represented over five years of compromise and commitment, of coordinated and supportive efforts on the part of very diverse interest groups, groups convinced that their collaborative efforts would help ensure the provision of policy and resources to meet the literacy needs of millions of adult Americans in this country. *This workshop and report continue in the spirit of those efforts.*

Special thanks are extended to the **National Governors' Association** and **United Way of America**. This activity would not have been possible without their moral and financial support. And...it would not have been successful without the open, honest communication and give and take evidenced by the workshop participants.

March, 1992

## Sponsors

**The National Adult Education Professional Development Consortium (NAEPDC)** is the professional development arm of the National Council of State Directors of Adult Education (NCSDAE). NAEPDC, founded in 1989 is committed to providing programs in professional development, serving as a catalyst for public policy review in adult education, and disseminating information for State Directors of Adult Education and their staffs.

**The National Governors' Association (NGA)**, founded in 1908 as the National Governors' Conference, is the instrument through which the nation's Governors collectively influence the development and implementation of national policy and apply creative leadership to state issues. The Center for Policy Research is the research and development arm of NGA.

**United Way of America (UWA)** is a national membership organization established in 1918 to provide support services, training, and marketing, as well as national leadership to local United Ways who in turn support over 40,000 health and human care agencies. The issue of illiteracy is a priority for United Way of America and nearly 450 United Ways actively support literacy efforts.

Special thanks to **Judy Alamprese** for her exceptional work as facilitator.

## Participants

**Robert Bickerton**, Director, Bureau of Adult Education, Massachusetts.

**Christine Cassidy**, Executive Director, Washington Literacy.

Washington Literacy is a statewide resource center for community organizations and agencies that use volunteers in providing literacy services to adults. Founded as a non-profit organization in 1969, Washington Literacy assists these groups with training, technical assistance, information and referral, and materials.

**Jinx Crouch**, Executive Director, Literacy Volunteers of America.

Literacy Volunteers of America (LVA) is a national non-profit organization which combats illiteracy through a network of community volunteer literacy programs. These affiliates provide individualized student-centered instruction in both basic literacy and English as a second language for adults and teens.

**Mike Dean**, Education Program Specialist, Adult Education Regulations, Division of Adult Education and Literacy, U.S. Department of Education.

**Evelyn Ganzglass**, Director of Employment and Social Services Policy Study, Center for Policy Research, National Governors' Association.

**Barbara Hanley**, Director of Field Services, Laubach Literacy Action.

Laubach Literacy Action (LLA) is the nation's largest network of volunteer literacy programs serving approximately 200,000 new readers a year. LLA provides resource and technical assistance in the areas of volunteer training, program management, evaluation, and material development.

**Annette Lalco**, Director, Education and Literacy Initiative, United Way of America.

**Donna Lane**, Director, Community College Instruction Service, Office of Community Colleges, Oregon.

**Noreen Lopez**, Chairperson of the NAEPDC and Director, Adult Education, State Board of Education, Illinois.

**Lennox McLendon**, Secretary/Treasurer of NAEPDC and Associate Director, Adult Education, Department of Education, Virginia.

**Garrett Murphy**, Legislative Liaison of NAEPDC and Director, Division of Continuing Education, State Education Department, New York. Colleges, Oregon.

**Kevin Smith**, Director, Literacy Volunteers of America - New York State.

Literacy Volunteers of America - New York State (LVA-NYS) is a mid-level administrative office designated to advise and advocate for the fifty-one local affiliate programs in its network. With more than 10,000 volunteers and over 13,000 adult learners involved, LVA-NYS is the second largest state volunteer literacy program in the nation.

**Roberta Sorensen**, Literacy Project Coordinator, Association for Community Based Education.

Association for Community Based Education (ACBE) is a national membership organization of institutions involved, through education, in community building, and indigenous leadership development. Its members include accredited colleges, economic development organizations, literacy and adult learning programs, and advocacy groups. Although diverse, they share a common commitment to help empower their communities to chart their future in economically productive and culturally relevant ways.

**Sondra Stein**, Consultant in Literacy Evaluation, Association for Community Based Education.

**Peter Waite**, Executive Director, Laubach Literacy Action.

**Judy Koloski**, Executive Director, NAEPDC.

**Stacy Passman**, Executive Assistant, NAEPDC.

## **Introduction**

The guidance for implementing the "direct and equitable access" provision of the National Literacy Act presented in this report was derived based on assumptions about the following:

- 1) the population of adult learners who are potential recipients of adult education services,
- 2) the types of relationships that should exist among service providers,
- 3) the leadership that is needed to foster collaboration among programs and delivery systems,
- 4) the current statutory and administrative requirements for funding literacy programs under the Adult Education Act.

### **WHO MUST BE SERVED?**

- The potential population of adults who might participate in adult literacy or basic education services is diverse in terms of demographic characteristics, educational needs, learning styles, and goals for learning. In order to address the needs of these learners, a multi-faceted service delivery system must exist that provides services in a variety of organizational settings utilizing multiple teaching methodologies.

### **WHAT MUST WE DO?**

- The successful implementation of the "direct and equitable access" provision will require a willingness on the part of State adult education offices, national and state literacy organizations and other interested groups to work together in understanding the Federal and various State funding guidelines for adult education. Currently, the system of adult education includes programs sponsored by entities such as local educational agencies, community colleges, community-based organizations, correctional agencies, national volunteer organizations, and libraries. These service providers must work in coordination to ensure that quality services are provided and that the ever-growing population of learners have options to participate in a range of services that can meet their learning requirements.

## **WHAT TYPE OF LEADERSHIP IS NEEDED?**

- There is a critical need for leadership from all segments of the adult education system to move the system forward in terms of the types of organizations involved in service delivery, the breadth of services provided, and the additional resources needed to support those services. Information sharing and the building of trust are essential if long-standing assumptions about service providers and the quality of services offered are to be examined and reformulated. Furthermore, all segments of the system must work together to address legislative and statutory regulations that, in some states, may have impeded the funding of providers not traditionally supported with Federal adult education monies.

## **HOW ARE PROGRAMS FUNDED?**

- The members of the discussion group identified a number of current practices concerning the **program operation, administration and, fiscal requirements** of an adult education program that might be considered by organizations and entities interested in applying for funding as well as those funding adult education programs under the National Literacy Act. The practices described are illustrative examples of procedures that can be implemented or steps that can be taken to address the Federal requirements and should be considered in any applications for funding.

## **I. ELEMENTS OF PROGRAM OPERATION**

- **Targeting Clients/Learner Recruitment.** One component in an application for funding is the profile of the target service area. The following types of information can be presented by an organization to meet this requirement:
  - √ Description of target population in terms of a combination of characteristics such as ethnic/cultural background, years of education, age, and special needs (e.g., welfare recipient, incarcerated, individuals with disabilities);
  - √ Description of recruitment procedures that illustrate that the desired target population can be reached effectively and that the recruitment process is bias-free;
  - √ Provision of evidence that the organization has been successful in serving its target population in the past and that these procedures will continue to be successful.
- **Facilities.** State adult education offices should be contacted regarding their specific requirements for facilities, since these vary by State.
  - √ Many States require that services be available for individuals with handicaps at some sites, but not all.
  - √ In terms of the provision of volunteer services, site-based services are being encouraged rather than the provision of services at learners' homes.
- **Linkages with Agencies.** A plan for interagency collaboration can include one or more of the following:
  - √ The submission of letters of intent to collaborate (or descriptions of past collaboration activities) from local agencies;
  - √ A description of the activities that will be undertaken by collaborating agencies;

- √ A description of a process indicating how learners will make the transition from one service provider to another as their education goals are accomplished and new goals are set.
- **Learner Intake Procedures.** Generally, intake procedures should include a description of learner goal-setting processes, consisting of both intake and follow-up procedures.
  - √ Some states require that a process be implemented for monitoring individual learner's goals, activities, and accomplishments. This may include accomplishments according to the goals learners have set for themselves or goals as defined by a State, such as in a competency system.
- **Curriculum.** The curriculum can be described in terms of the following:
  - √ Content that will be taught and the ways in which this content matches the skill and knowledge needs of potential program participants;
  - √ Information concerning the levels of learners who will be using the curriculum and the ways in which the curriculum relates to learners' goals and the assessment procedures that are used in the program.
- **Instructional Methods.** A variety of instructional methods should be described that are appropriate for the content of the curriculum and the varied learning styles of program participants.
  - √ A method that might not be considered effective is an independent learning situation where a learner does not work with a tutor or teacher for prolonged periods of time.
  - √ Instructional methods should be used that provide ongoing support and feedback to learners.

- **Staff Development.** State adult education offices sponsor a variety of staff development activities and some set requirements for adult education instructors to participate in a minimum number of hours of training annually.
  - √ Applicants for funding should contact the State office to determine the requirements as well as to obtain information about the types of training services that may be available.
- **Learner Assessment.** States vary in their requirements for pre- and post-testing of learners, with some specifying that the same assessment system or instrument be used by all providers.
  - √ Applicants for funding should contact the State adult education office to obtain information about the requirements.
  - √ If the use of a specific instrument is not required, applicants might contact other service providers in the area, the national organization representing them, or a national or State technical assistance provider to obtain information about appropriate assessment instruments and processes.
- **Data Collection.** In keeping with the Federal requirements for data reporting, State adult education offices are adjusting the types of data and reporting formats that they will require. Under the provisions of the National Literacy Act, the Federal Office of Adult Education and Literacy, by July 1992, must develop model indicators of program quality that may be used by State and local programs in assessing program effectiveness. States must, by July of 1993, develop their own indicators of program effectiveness under the basic State grant program. Information supporting these indicators is likely to be included in any newly developed data collection efforts.
  - √ Applicants should contact their State offices to determine the specific data collection requirements, since these often vary by State.

- √ Before devising a data collection process, applicants should determine whether existing data collection systems (e.g., computerized forms) exist that can be adapted or adopted for use by them. State adult education offices or national organizations are sources of this information.
- √ State adult education offices and local service providers should work together in determining the most effective ways to meet data reporting requirements, so that the data can be used to improve program operations at all levels.

## II. ELEMENTS OF ADMINISTRATION AND FISCAL ACCOUNTABILITY

In the past—under the Adult Education Act—a number of administrative and fiscal requirements impeded the funding of entities such as volunteer agencies and community-based organizations. The following practices have been implemented by some State adult education offices as ways of addressing these requirements and supporting service providers that traditionally have not been part of the funded system. It must be noted, however, that *individual states vary greatly in state statutory or policy provisions regarding fiscal and administrative issues*. It is critical that agencies seeking funding under the Adult Education Act verify the status of the issues in their respective states.

For some of the areas below, suggestions are made regarding the types of assistance that national or state organizations can provide to local service providers.

- Administrative Cap.

- ✓ The requirement of an administrative cap of 5 percent can be waived by the State.

- Local Match.

- ✓ States can increase the percentage of their match or cap the dollar amount of the match that is required.
- ✓ States may award two types of grants—one of which would not require a match.

- Reimbursement Process.

- ✓ States can award subgrants. This may involve the use of a legislative or regulatory process, but could enable financially strapped organizations to receive start-up funds for the management of their programs.

- Documentation of Agency Eligibility.
  - ✓ States usually will accept a statement from a certified public accountant documenting an agency's fiscal viability.
  - ✓ Local agencies should consider having an annual audit performed. Local accounting associations often provide pro bono service to non-profit organizations.
  - ✓ National organizations could provide technical assistance in fiscal management.
- Data Reporting/Learner Confidentiality. Some States require the reporting of individual-level data.
  - ✓ To avoid a perceived breach of learner confidentiality, code numbers can be used in lieu of learners' names.
  - ✓ All levels of agencies—Federal, State, and local — should examine the types of data elements that are needed and the ways in which data can be collected to maximize its utility.
- Distribution of Formula Funds.
  - ✓ In States where there is no statutory basis for awarding formula monies to non-public agencies, grants may be awarded to the non-public entities while formula funds are given to public agencies.
- State Hour Limitation.
  - ✓ To meet hourly requirements, States may define service to include intake procedures.
  - ✓ States may use alternative funding mechanisms to support the intake component of a program.

- Previous Experience Requirement.

- ✓ Agencies with no previous experience as an adult education service provider may work collaboratively with another agency to establish a record of experience.
- ✓ Agencies may contract to provide part of the educational service as a way of building experience.
- ✓ National organizations could provide technical assistance to local agencies in methods for working collaboratively with other agencies and in documenting a record of experience.

### III. WHERE DO WE GO FROM HERE

The process of expanding the types of service providers supported with Federal Adult Education funds as well as the improvement of the overall quality of the system are long-term efforts that will require investments of time and energy. These efforts must take place at the State and local levels and should mirror the type of national leadership, compromise, trust and collaboration that ensured the passage of the National Literacy Act.

National organizations have an important, ongoing role to play. They should continue to model collaborative working relationships at the national level; they should provide technical assistance and, when possible, financial support, to assist their state and local affiliates meet the challenges and opportunities of the new legislation. And...individuals and organizations at all levels, national, state and local, should continue to advocate for increased resources to implement all the provisions of the National Literacy Act of 1991.

Finally, the material presented in this report about practices that can be implemented by State adult education offices and volunteer and community based organizations represents suggestions from States and organizations that have utilized such practices. All of the individuals involved in this workshop have indicated a willingness to share their experiences with you. *But this document is only a first step.* It is aimed at stimulating discussion and action in the near term, so that the long-term goal of a flexible, integrated adult education system can be realized.